

2157 \$
PATENT

5181-91900/P6401

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/896,090

Filed: June 29, 2001

Inventors:

Amy H. Kang

George Tharakan

Joseph F. Di Pol

Christopher S. Kasso

Title: Pluggable Authentication
and Access Control for a
Messaging System

03/15/2005 AKELECH1 00000015 501505 09896090

01 FC:1806

180.00 DA

§ Examiner: Osman, Ramy M.

§ Group/Art Unit: 2157

§ Atty. Dkt. No: 5181-91900

§ I hereby certify that this correspondence is being deposited with
§ the United States Postal Service with sufficient postage as first
§ class mail in an envelope addressed to Commissioner for
§ Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the
§ date indicated below.

Robert C. Kowert

Printed Name



Signature

March 10, 2005

Date

INFORMATION DISCLOSURE STATEMENTCommissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicant requests consideration of ☒ the references listed on the attached Form PTO-1449 and/or ☐ the additional information identified below in paragraph 3.

- ☒ A copy of each required reference listed on the Form PTO-1449 is enclosed.
- ☐ The references listed on the Form PTO-1449 were previously cited in application serial no. _____ to which the captioned application is seeking priority under 35 U.S.C. §120; therefore, a copy of each reference is not enclosed.

1. This Information Disclosure Statement is submitted:

- a. ☐ within 3 months of the filing date of a national application other than a continued prosecution application under § 1.53(d);
- ☐ within 3 months of the date of entry of the national stage as set forth in § 1.491 in an International application;

- ☐ before the mailing date of a first Office Action on the merits; or
☐ before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.
- b. ☒ after the events of above paragraph 1a and prior to the mailing date of a final Office Action or Notice of Allowance, and thus: ☐ the certification of paragraph 2 below is provided, or ☒ a fee of \$180.00 (authorized below).
- c. ☐ after the mailing date of a final Office Action or a Notice of Allowance and prior to payment of the issue fee, and thus: the certification of paragraph 2 below is provided and a fee of \$180.00 is enclosed.
2. It is hereby certified:
- ☐ that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the Statement; or
- ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in § 1.56 (c) more than three (3) months prior to the filing of the Statement.
- ☐ that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in § 1.56(c) more than thirty (30) days prior to the filing of the information disclosure statement;
3. ☐ Consideration of the following additional information (including any co-pending or abandoned U.S. applications, prior uses and/or sales, etc.) is requested:
4. For each non-English language reference listed on the attached Form PTO-1449:
- ☐ reference is made to an English language translation submitted herewith, and/or
- ☐ reference is made to a foreign patent office search report (in the English language) submitted herewith, and/or
- ☐ reference is made to an English language translation of a foreign patent office search report submitted herewith, and/or
- ☐ reference is made to the concise explanation contained in the specification of the present application at page(s) _____, and/or
- ☐ reference is made to the concise explanation set forth below:
5. ☐ Applicant also offers the following comments for the Examiner's consideration:

6. ☐ Also enclosed is a copy of a foreign search report citing these references.
7. ☐ The listed documents were brought to the attention of the Applicant(s) after payment of the issue fee in the captioned case. The documents were cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. Applicant(s) request this Information Disclosure Statement and attached Form PTO-1449 be placed in the file of the captioned application.
8. ☐ Applicant(s) requests that the Information Disclosure Statement and attached Form PTO-1449 and references, which are being filed before the grant of the patent and pursuant to 37 C.F.R. § 1.97(i), be placed in the file of the captioned application.

If any required fees are missing, the Commissioner is authorized to charge said fees to Meyertons, Hood, Kivlin, Kowert & Goetzel, P.C. Deposit Account No. 501505/5181-91900/RCK.

Respectfully submitted,



Robert C. Kowert
Reg. No. 39,255
Attorney for Applicant(s)

MEYERTONS, HOOD, KIVLIN,
KOWERT & GOETZEL, P.C.
P. O. Box 398
Austin, Texas 78767
(512) 853-8800

Date: March 10, 2005

Form PTO-1449 (modified) List of Patents and Publications For Applicant's Information Disclosure Statement (Use several sheets if necessary)	ATTY. DKT. NO. 5181-91900	SERIAL NO. 09/896,090
	APPLICANT: Kang, et al.	GROUP: 2157
	FILING DATE: June 29, 2001	

U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
		6,223,289	4/24/01	Wall, et al.			
		6,615,264	9/2/03	Stoltz, et al.			
		6,711,681	3/23/04	Al-Salqan, et al.			

FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES.	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	A1	Softwired, "Access Control," received May 15, 2001, pp. 29-35.
	A2	"Directory SDK for Java 4.0 Programmer's Guide: Using SASL Authentication," Netscape Communications Corp., 1999, 7 pages.
	A3	"Simple Authentication and Security Layer (SASL)," Network Working Group, The Internet Society, 1997, 14 pages.
	A4	Jun Li, et al., "Securing Distributed Adaptation," In Proceedings of the Fourth IEEE Conference on Open Architectures and Network Programming (OPENARCH 2001), April 2001, 12 pages.
	A5	Naomaru Itoi, et al, "Pluggable Authentication Module for Windows NT," Proceedings of 2 nd USENIX Windows NT Symposium, August 1998, USENIX, ppgs. 97-108.
	A6	Charlie Lai, et al., "User Authentication and Authorization in the Java TM Platform," Published in the Proceedings of the 15 th Annual Computer Security Applications Conference, December 1999, 9 pages.
	A7	"Chapter 6: Pluggable Authentication API," iPlanet Portal Server Reference Guide, May 4, 2000, Netscape Communications Corp., 15 pages.
	A8	Sun Microsystems, Inc., "Java TM Message Queue Quickstart Guide, V1.1, Revision A, May 2000, 145 pages.

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

Information Disclosure Statement--PTO 1449 (modified)